

03-12-01

PTO/SB05 (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	1991-00100
First Inventor	David GREENE, et al.
Title	Online Trading System Having Real-Time Account Opening
Express Mail Label No.	EL 776175536 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

- | | |
|---|---|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status.
See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Page 24]
(preferred arrangement set forth below)</p> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 4]</p> <p>5. Oath and Declaration</p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)</p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> |
|---|---|

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Acknowledgement Postcard

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP)

of prior application No.:
Group/Art Unit:

Prior application information: Examiner

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number of Bar Code Label 23505 or ☐ Correspondence address below

Name	Conley, Rose & Tayon				
Address	P.O. Box 3267				
City	Houston	State	Texas	Zip Code	77253-3267
Country	USA	Telephone	(713) 238-8000	Fax	(713) 238-8008

Name (Print/Type)	MICHAEL F. HEIM	Registration No. (Attorney/Agent)	32,702
Signature	<i>Michael F. Heim</i>		Date: March 9, 2001

Burden Hour Statement: This form is estimated to take 0.2 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, D.C. 20231.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number	Not Yet Assigned
Filing Date	February 28, 2001
First Named Inventor	David GREENE, et al.
Examiner Name	Not Yet Known
Group Art Unit	Not Yet Known
Attorney Docket No.	1991-00100

TOTAL AMOUNT OF PAYMENT **\$710.00**

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:
Deposit Account Number: 03-2769
Deposit Account Name: Conley, Rose & Tayon, P.C.
☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:
☐ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)				
101 710	201 355	Utility filing Fee		\$710.00	
106 320	206 160	Design filing fee		\$	
107 490	207 245	Plant filing fee		\$	
108 710	208 355	Reissue filing fee		\$	
114 150	214 75	Provisional filing fee		\$	

SUBTOTAL (1) \$710.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
18	- 20** = * x	18.00	= \$
Independent Claims	2	3** = * x	80.00 = \$
Multiple Dependent		270.00	= \$ 00.00

Large Entity	Small Entity	Fee	Fee	Fee Description
Code (\$)	Code (\$)			
103 18	203 9	Claims in excess of 20		
102 80	202 40	Independent Claims in excess of 3		
104 270	204 135	Multiple dependent claim, if not paid		
109 80	209 40	** Reissue independent claims over original patent		
110 18	210 9	** Reissue claims in excess of 20 and over original patent		

SUBTOTAL (2) \$710.00

** or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

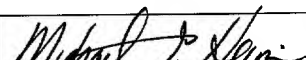
Large Entity	Small Entity	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)				
105 130	205 65	Surcharge - late filing fee or oath		\$	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet		\$	
139 130	139 130	Non-English specification		\$	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination		\$	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action		\$	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		\$	
115 110	215 55	Extension for reply within first month		\$	
116 390	216 195	Extension for reply within second month		\$	
117 890	217 445	Extension for reply within third month		\$	
118 1,390	218 695	Extension for reply within fourth month		\$	
128 1,890	228 945	Extension for reply within fifth month		\$	
119 310	219 155	Notice of Appeal		\$	
120 310	220 155	Filing a brief in support of an appeal		\$	
121 270	221 135	Request for oral hearing		\$	
138 1,510	138 1,510	Petition to institute a public use proceeding		\$	
140 110	240 55	Petition to revive - unavoidable		\$	
141 1,240	241 620	Petition to revive - unintentional		\$	
142 1,240	242 620	Utility issue fee (or reissue)		\$	
143 440	243 220	Design issue fee		\$	
144 600	244 300	Plant issue fee		\$	
122 130	122 130	Petitions to the Commissioner		\$	
123 50	123 50	Petitions related to provisional applications		\$	
126 180	126 180	Submission of Information Disclosure Stmt		\$	
581 40	581 40	Recording each patent assignment per property (times number of properties)		\$	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))		\$	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))		\$	
179 710	279 355	Request for Continued Examination (RCE)		\$	
169 900	169 900	Request for expedited examination of a design application		\$	
Other fee (specify)					\$

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	MICHAEL F. HEIM	Registration No. (Attorney/Agent)	32,702	Telephone	(713) 238-8000
Signature		Date	March 9, 2001		

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